

Patent Application
U.S. Application No.: 10/022,438
Attorney Docket No.: 52493.000230

IN THE CLAIMS:

A listing of the status of all claims 1-25 in the present patent application is provided below:

1. **(Previously Presented)** A method for use in compliance management, comprising:
 - presenting, via a computer network, at least one user with a series of questions relating to at least one business category;
 - soliciting, via the computer network, a response from the at least one user for each question presented;
 - determining a detection index based on the number of responses to each of the series of questions;
 - determining an occurrence index based on the potential consequence of non-compliance;
 - determining a standard severity risk index based on the expected severity of non-compliance; and
 - prioritizing, via the computer network, the at least one business category based on the at least one user's responses and at least one total risk score comprising the product of the detection, occurrence and standard severity risk indices.
2. **(Original)** The method of claim 1 wherein the user response comprises a "Yes" or "No."
3. **(Currently Amended)** The method of claim 1 wherein the at the least one

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standard severity risk index comprises a number between 1 and 10 corresponding to a specific level of risk.

4. (Original) The method of claim 3 wherein the number "1" comprises the lowest level of risk severity, and the number "10" the highest level of severity.

5. (Original) The method of claim 1 wherein the at least one standard severity risk index corresponds to the at least one business category.

6. (Currently Amended) The method of claim 1 further comprising the step of determining a detection index based on the number of questions presented in the series of questions, the at least one user's responses, and the number of users.

7. (Canceled)

8. (Canceled)

9. (Previously Presented) The method of claim 1 further comprising ranking the at least one business category based on the at least one total risk score.

10. (Previously Presented) A system for use in compliance management, comprising:

a query module associated with an engine for presenting at least one user with a series of questions relating to at least one business category, and for soliciting and receiving responses from the at least one user for each question presented;

a prioritization module associated with the engine for: (1) determining a detection index based on the number of responses to each of the series of questions, determining an occurrence index based on the potential consequence of non-compliance, and determining a standard severity risk index based on the expected severity of non-compliance, and (2) prioritizing the at

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least one business category based on the at least one user's responses and at least one total risk score comprising the product of a detection, occurrence and standard severity risk indices.

11. (Original) The system of claim 10 wherein the series of questions are presented to the user over a communications network.

12. (Original) The system of claim 10 further comprising an administration module associated with the engine for inputting, updating and accessing data associated with the query and prioritization modules, the administration module being accessible to an administrator of the system via an administration interface.

13. (Original) The system of claim 10 wherein the user response comprises a "Yes" or "No" response.

14. (Original) The system of claim 10 wherein the at least one standard severity risk index comprises a number between 1 and 10 corresponding to a specific level of risk.

15. (Original) The system of claim 14 wherein the number "1" comprises the lowest level of severity, and the number "10" the highest level of severity.

16. (Original) The system of claim 10 wherein the at least one standard severity risk index corresponds to the at least one business category.

17. (Currently Amended) The system of claim 10 wherein the detection index is based on the number of questions presented in the series of questions, the at least one user's responses, and the number of users.

18. (Canceled)

19. (Canceled)

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20. **(Previously Presented)** The system of claim 10 wherein prioritization module further ranks the at least one business category based on the at least one total risk score.

21. **(Previously Presented)** The method of claim 1 wherein the detection is determined by the following formula:

$$\text{Detection index} = \frac{\sum_{i=1}^n i(\# \text{ of answers}_i)}{(d)(n)},$$

wherein i refers to each possible response,

$\#$ of answers $_i$ refers to the number of queries or questions that were answered with a particular response i ,

n refers to the total number of queries or questions in that category, and

d refers to the number of departments or units responding.

22. **(Previously Presented)** The method of claim 1, wherein the occurrence index weighs the total risk score based on the potential consequences of non-compliance.

23. **(Previously Presented)** The method of claim 1, wherein the occurrence index is based on the total number of agents or employees affected by non-compliance.

24. **(Currently amended)** The method of ~~claim 1~~claim 25, wherein the occurrence index is based on the total number of policies in force.

25. **(New)** A method for use in compliance management, comprising:

- presenting, via a computer network, at least one user with a series of questions relating to at least one business category;
- soliciting, via the computer network, a response from the at least one user for each question presented;

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determining a detection index based on the number of responses to each of the series of questions;

assessing a potential consequence of non-compliance, the potential consequence of non-compliance relating to parameters and the values of such parameters;

determining an occurrence index based on the potential consequence of non-compliance that was assessed, such that the occurrence index changes as the parameters associated with the potential consequence of non-compliance change, the occurrence index that is determined being one of at least three possible occurrence indices, the at least three possible occurrence indices being provided as possible occurrence indices;

determining a standard severity risk index based on the expected severity of non-compliance; and

prioritizing, via the computer network, the at least one business category based on the at least one user's responses and at least one total risk score, the at least one total risk score being based on the detection index, the occurrence index, and standard severity risk index.

21. (New) The method of claim 1 wherein the detection index is determined by a relationship between the number of queries or questions that were answered with a particular response, the total number of queries or questions in the category, and the number of departments or units responding.